

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Michele Belmonte, et al

Serial No:

Filed:

For: Electro-optic Devices, Including Modulators and Switches

Examiner:

Group Art Unit:

**INFORMATION DISCLOSURE STATEMENT  
UNDER 37 C.F.R. §§ 1.56, 1.97 – 1.98**

Commissioner of Patents  
Alexandria, VA 22313-1450

Dear Sir:

The Examiner's attention is hereby directed to the following reference(s) listed on the attached Form PTO-1449 for consideration in connection with the examination of the above-identified patent application. One copy of the reference(s) is enclosed.

This submission does not represent that a search has been made or that no better art exists and does not constitute an admission that each or all of the enclosed documents constitute "prior art." If it should be determined that any of the submitted documents do not constitute "prior art" under United States law, applicant(s) reserve the right to present to the office the relevant facts and law regarding the appropriate status of such documents.

Applicant(s) further reserve the right to take appropriate action to establish the patentability of the disclosed invention over the enclosed references, should one or more of the references be applied against the claims of the present application.

Respectfully submitted,

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I hereby certify that this correspondence is being deposited with the United States Postal Service as EXPRESS MAIL in an envelope addressed to Commissioner of Patents, Alexandria, Va 22313-1450 on

SEPTEMBER 25, 2003

Date of Deposit

Ronald J. Paglierani

Name of applicant, assignee, or  
Registered Representative

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Signature

9/25/03

Date of Signature

EXPRESS MAIL NUMBER EV 327189113 US

FORM PTO-1449 (MODIFIED)		ATTORNEY DOCKET NO.	SERIAL NO.
<p style="text-align: center;"><b>LIST OF PATENTS AND PUBLICATIONS</b></p> <p style="text-align: center;"><b>FOR APPLICANTS INFORMATION</b></p> <p style="text-align: center;"><b>DISCLOSURE STATEMENT</b></p>		UK02-012	
		APPLICANT Michele Belmonte, et al.	
		FILING DATE	GROUP:

REFERENCE DESIGNATION		U.S. PATENT DOCUMENTS					
Examiner Initial		Document Number	Date	Name	Class	Sub-Class	Filing Date if Approp.
	AA	4,797,641	1/10/89	Djupsjobacka	332	7.51	
	AB	5,005,932	4/9/91	Schaffner, et al	350	96.14	
	AC	5,278,924	1/11/94	Schaffner	385	3	
	AD						
	AE						
	AF						
	AG						
	AH						
	AI						
	AJ						
	AK						

FOREIGN PATENT DOCUMENTS							
		Document Number	Date	Country	Class	Sub-Class	Translation Yes No
	AL						
	AM						
	AN						
	AO						
	AP						
	AQ						

OTHER ART (Including Author, Title, Date, Pertinent Pages, etc.)		
	AR	"First-order quasi-phase matched LiNbO <sub>3</sub> waveguide periodically poled by applying an external field for efficient blue second-harmonic generation" M. Yamada, et al Applied Physics Letters 62 (5) 1 Feb 1993 pages 435 - 436
	AS	"A Review of Lithium Niobate Modulators for Fiber-Optic Communications Systems" E. L. Wooten, et al IEEE Journal of Selected Topics in Quantum Electronics Vol. 6, No. 1, January/February 2000 pages 69 - 82
	AT	"Modeling and Optimization of Traveling-Wave LiNbO <sub>3</sub> Interferometric Modulators" H. Chung, et al IEEE Journal of Quantum Electronics, Vo. 27, No. 3, March 1991 pages 608 - 617
	AU	"Wide-bandwidth high-frequency electro-optic modulator based on periodically poled LiNbO <sub>3</sub> " Y. Lu, et al Applied Physics Letters, Vol. 78, Number 8 19 Feb. 2001, pages 1035 - 1037
	AV	"Novel Type of Baseband Phase-Reversal Electrode For Optical Modulators with Linear Phase Response" A. Djupsjobacka Electronics Letters, 26 1990 1 March, No. 5 pages 318 - 320
	AW	"Bandpass Traveling-Wave Mach-Zehnder Modulator in LiNbO <sub>3</sub> with Domain Reversal" W. Wang, et al IEEE Photonics Technology Letters, Vo. 9, No. 5, May 1997

EXAMINER:

DATE CONSIDERED:

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609: draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.